

FORM PTO-1449 (Modified)

LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT(S)' INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.
ICOR-004SERIAL NO.
Not Yet AssignedAPPLICANT
TARI et al.FILING DATE
December 11, 2001GROUP ART UNIT
Not Yet Assigned11017 U.S. PTO
10/014864

12/11/01

U.S. PATENT DOCUMENTS

EXAM'R INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
JG	A1	3,573,747	4/6/71	Adams, et al.			
	A2	4,674,044	6/16/87	Kalmus, et al.			
	A3	4,942,616	7/17/90	Linstroth, et al.			
	A4	4,980,826	12/25/90	Wagner			
	A5	5,038,284	8/6/91	Kramer			
	A6	5,077,665	12/31/91	Silverman, et al.			
	A7	5,101,353	3/31/92	Lupien, et al.			
	A8	5,136,501	8/4/92	Silverman			
	A9	5,375,055	12/20/94	Togher, et al.			
	A10	5,724,524	3/3/98	Hunt, et al.			
	A11	5,774,880	6/30/98	Ginsberg			
	A12	5,802,499	9/1/98	Sampson, et al.			
	A13	5,809,483	9/15/98	Broka, et al.			
	A14	5,857,176	1/5/99	Ginsberg			
	A15	5,873,071	2/16/99	Ferrstenberg, et al.			
	A16	5,905,974	5/18/99	Fraser, et al.			
	A17	5,915,209	6/22/99	Lawrence			
	A18	5,924,082	7/13/99	Silverman, et al.			

FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO
JG	B1	0512702 A2	11/11/92	Europe				
	B2	WO 99/19821	4/22/99	WIPO				
	B3	0411748 A2	2/6/91	Europe				

OTHER DOCUMENTS (Include Author, Title, Date, Pertinent Pages, etc.)

EXAMINER /Jocelyn Greimel/

DATE CONSIDERED 11/08/2006

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with the next communication to Applicant(s).

FORM PTO-1449 (Modified) LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT(S)' INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)	ATTY. DOCKET NO. ICOR-004	SERIAL NO. Not Yet Assigned
	APPLICANT TARI et al.	
	FILING DATE December 11, 2001	GROUP ART UNIT Not Yet Assigned

U.S. PATENT DOCUMENTS

EXAM'R INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
JG	A19	5,924,083	7/13/99	Silverman, et al.			
	A20	5,963,923	10/5/99	Garber			
	A21	5,987,419	11/16/99	Hachino, et al.			
	A22	6,012,046	1/4/00	Lupien, et al.			
	A23	6,014,627	1/11/00	Togher, et al.			
	A24	6,014,643	1/11/00	Minton			
	A25	6,016,483	1/18/00	Rickard, et al.			
	A26	6,026,383	2/15/00	Ausubel			
	A27	6,058,379	5/2/00	Odom, et al.			

FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO
JG	B4	0399850 B1	12/13/95	Europe				
	B5	0407026 B1	11/22/95	Europe				

OTHER DOCUMENTS (Include Author, Title, Date, Pertinent Pages, etc.)

JG	C1	Schmerken, Ivy, <i>Banks Eye Forex Matching Systems</i> , Wall Street Computer Review, Vol. 9, No.2, P. 45.
	C2	Wilson, John F., <i>On-Line International Cash Management</i> , Annual ACM Conference, 1983.
	C3	Burman, Michael, <i>Aspects of a High-Volume Production Online Banking System</i> , IEEE Compcon, Spring of 1985.
	C4	Sammer, Harald W., <i>Online Stock Trading Systems: Study of an Application</i> , IEEE Compcon, Spring of 1987.
	C5	Clemons, E.K., et al., <i>Merrill Lynch Cash Management Account Financial Service: A Case Study in Strategic Information Systems</i> , 21 st Annual Hawaii International Conference on Systems Sciences, Vol. 4, 1988.

EXAMINER /Jocelyn Greimel/	DATE CONSIDERED 11/08/2006
----------------------------	----------------------------

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with the next communication to Applicant(s).

FORM PTO-1449 (Modified) LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT(S) INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)	ATTY. DOCKET NO. ICOR-004	SERIAL NO. Not Yet Assigned
	APPLICANT TARI et al.	
	FILING DATE December 11, 2001	GROUP ART UNIT Not Yet Assigned

OTHER DOCUMENTS (Include Author, Title, Date, Pertinent Pages, etc.)

JG	C6	Finebaum, Murray L., <i>Information Systems in the Securities Industry</i> , 21 st Annual Hawaii International Conference on System Sciences, Vol. 4, 1988.
	C7	Sager, M.T., <i>Competitive Alliances With Information Technology - The Australian Retail Banking Experience</i> , 22 nd Annual Hawaii International Conference on System Sciences, Vol. 4, 1989.
	C8	Gutner, Tammi, <i>Fine If You're Big</i> , The Banker, October, 1988.
	C9	Arend, Mark, <i>Swift Speeds Up As Broker/Dealers Join</i> , Wall Street Computer Review, January, 1989.
	C10	Essinger, James, <i>ISE's 'SAEF' Debuts to Make the Market Sound</i> , Wall Street Computer Review, May, 1989.
	C11	Freund, William C., <i>Electronic Trading and Linkages in International Equity Markets</i> , Financial Analysis Journal, May-June, 1989.
	C12	Schmerken, Ivy, <i>High-Tech Banks Set to Challenge Wall Street</i> , Wall Street Computer Review, July, 1989.
	C13	Arend, Mark, <i>Banks Lure Investors With High-Tech Convenience</i> , Wall Street Computer Review, December, 1989.
	C14	Arend, Mark, <i>Where Wall Street's Tending In Trading Systems Design</i> , Wall Street Computer, June, 1990.
	C15	Brennan, P.J., <i>OTC Trading Systems Lead In Race to Automate</i> , Wall Street Computer Review, November, 1990.
	C16	Cody, B.J., <i>Reducing the Costs and Risks of Trading Foreign Exchange</i> , Wall Street Computer Review, November, 1990.
	C17	Goodman, Ann, <i>The Moneyp: Mixing Men and Machines for Market Might</i> , Wall Street Computer Review, August, 1991.
	C18	Hcyman, D.P., <i>A Performance Model of the Credit Manager Algorithm</i> , Computer Networks and ISDN Systems, March, 1992.
	C19	<i>Method For Collection of Accounting Data</i> , IBM Technical Disclosure Bulletin, 1986.
	C20	<i>Banks Look to Build FX Order- Matching System Quotron Eyed as Vendor, Minex as Co-Sponsor?</i> , FX Week, May 17, 1991.
	C21	<i>TST Interviews Evan Schulman</i> , Automated Trading Pioneer, Trading Systems Technology, July 15, 1991.
	C22	Schmerken, Ivy, <i>Staying in the Middle:...Brokers Are Fighting to Keep Their Role in the Market; Includes Related Article on Crossing Networks</i> , Wall Street Computer Review, December, 1991.

EXAMINER /Jocelyn Greimel/

DATE CONSIDERED 11/08/2006

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with the next communication to Applicant(s).

PTO-1449 (modified)

ATTY. DOG.

APPLICATION NO.

ICOR-004

10/014,864

LIST OF REFERENCES CITED BY APPLICANT

(Use several sheets if necessary)

APPLICANT

TARI et al.

FILING DATE

December 11, 2000

GROUP

2164



U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
JG	A1	6,317,727	11/13/2001	May	G06F	17/60	
	A2	2002/0002530 A1	1/3/2002	May	G06F	17/60	
	A3						
	A4						
	A5						
	A6						
	A7						
	A8						
	A9						
	A10						
	A11						
	A12						

RECEIVED
MAR 27 2002
Technology Center 2100

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	B1							
	B2							
	B3							
	B4							
	B5							

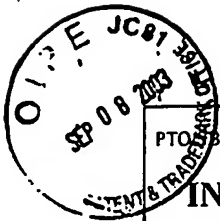
OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)

	C1	
	C2	
	C3	

EXAMINER /Jocelyn Greimel/

DATE CONSIDERED 11/08/2006

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



PTO 3/08a/b (modified)

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

Sheet 1 of 1

App. No.	10/014,864
Filing Date	December 11, 2001
First Named Inventor	Tari et al.
Art Unit	2164
Examiner Name	Not yet assigned
Attorney Docket No.	ICOR-004

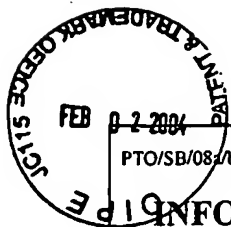
U. S. Patent Documents

Examiner Initials	Cite No.	Document No.	Publication Date	Name
JG	1.	6,035,287	07/03/2000	Stallaert et al.
	2.			
	3.			
	4.			
	5.			
	6.			
	7.			
	8.			
	9.			
	10.			
	11.			
	12.			
	13.			
	14.			
	15.			
	16.			
	17.			
	18.			

RECEIVED
SEP 11 2003
GROUP 3500**Foreign Patent Documents**

Examiner Initials	Cite No.	Document No.	Publication Date	Name	T
	1.				

Examiner Signature	/Jocelyn Greimel/	Date Considered	11/08/2006
-----------------------	-------------------	--------------------	------------



PTO/SB/08/b (modified)

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Sheet 1 of 1

App. No.	10/014,864
Filing Date	December 11, 2001
First Named Inventor	Tari et al.
Art Unit	2164
Examiner Name	Not yet assigned
Attorney Docket No.	ICOR-004

U. S. Patent Documents

Examiner Initials	Cite No.	Document No.	Publication Date	Name
JG	1.	4,412,287	10-1983	Braddock, III, Walter D.
	2.	5,297,031	03-1994	Guterman et al.
	3.	5,727,165	03-1998	Ordish et al.
	4.	4,677,552	06-1987	Sibley, Jr. H. C.
	5.	4,554,418	11-1985	Toy, Frank C.
	6.	5,950,177	09-1999	Lupien et al.
	7.	5,136,501	08-1992	Silverman et al.
	8.	6,014,627	01-2000	Togher et al.
	9.			
	10.			
	11.			
	12.			
	13.			
	14.			
	15.			
	16.			
	17.			
	18.			

RECEIVED

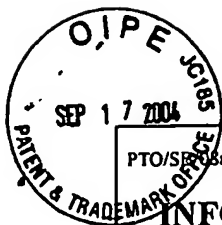
FEB 13 2004

GROUP 3600

Foreign Patent Documents

Examiner Initials	Cite No.	Document No.	Publication Date	Name	T
	1.				

Examiner Signature	/Jocelyn Greimel/	Date Considered	11/08/2006
-----------------------	-------------------	--------------------	------------



PTO/SP-8a/b (modified)

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Sheet 1 of 1

App. No.	10/014,864
Filing Date	December 11, 2001
First Named Inventor	Tari et al.
Art Unit	2164
Examiner Name	Not yet assigned
Attorney Docket No.	ICOR-004

RECEIVED

U. S. Patent Documents

SEP 20 2004

Examiner Initials	Cite No.	Document No.	Publication Date	Name
JG	1.	6,131,087	10-2000	Luke et al
	2.	5,655,088	08-1997	Midorikawa et al.
	3.	5,983,200	11-1999	Slotznick, Benjamin
	4.	6,119,101	09-2000	Peckover, Douglas L.
	5.	5,905,975	05-1999	Ausubel, Lawrence M.
	6.	5,717,989	02-1998	Tozzoli et al.
	7.	6,151,588	11-2000	Tozzoli et al.
	8.	6,055,519	04-2000	Kennedy et al.
	9.	5,214,579	05-1993	Wolfberg et al.
	10.	4,486,853	12-1984	Parsons, Frederick G.
	11.	5,689,652	11-1997	Lupien et al.
	12.	6,014,644	01-2000	Erickson, Ranel E.
	13.	6,519,574	02-2003	Wilton et al.
	14.	5,924,083	07-1999	Silverman et al.
	15.			
	16.			
	17.			
	18.			

GROUP 3800

Foreign Patent Documents

Examiner Initials	Cite No.	Document No.	Publication Date	Name	T
	1.				

Examiner Signature	/Jocelyn Greimel/	Date Considered	11/08/2006
-----------------------	-------------------	--------------------	------------